

**U.S. DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
PERFORMANCE APPRAISAL PLAN**

Section 1 IDENTIFYING INFORMATION

Name (Last, First, MI) Hauer, Susan H.	Position Title/Pay Plan/Series/Grade Safety & Occupational Health Manager/GS/0018/12
Organization and Location SLSDC / Office of Engineering and Maintenance	<input type="checkbox"/> Supervisory <input checked="" type="checkbox"/> Non-Supervisory
Appraisal Period	From: 06/01/2017 To: 10/26/2017

Section 1-A PERFORMANCE PLAN DISCUSSION

Signatures certify that the plan was discussed with the employee and the employee was provided a copy of this plan.

Employee Signature	Date
Rating Official Signature	Date
Reviewing Official Signature (If Applicable)	Date
Employee Input into Development of Standards (Indicate whether supervisor solicited employee involvement): <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

Section 1-B MID-YEAR REVIEW

Signatures certify that the employee's progress toward meeting the job performance expectations was discussed with the employee. Section 4 may be used to document the Progress Review.

Employee Signature	Date
Rating Official Signature	Date

Section 1-C SUMMARY PERFORMANCE RATING DETERMINATION

To assign the summary performance rating, select the highest level met based on the applicable criteria:

<input type="checkbox"/> Outstanding	Individual critical job elements constituting at least 70 percent of performance must be rated "Outstanding" with no critical job element rated below "Achieved Results".
<input type="checkbox"/> Exceeded Expectations	Individual critical job elements constituting at least 70 percent or more of performance must be rated no lower than "Exceeded Expectations" and no critical job element rated below "Achieved Results".
<input type="checkbox"/> Achieved Results	All individual critical job elements must be rated at least "Achieved Results".
<input checked="" type="checkbox"/> Unacceptable	One or more critical job elements are rated "Unacceptable"

Reason for Rating: ☐ Annual Rating of Record ☐ Employee Reassigned ☐ Within Grade Increase
☐ Employee Leaving Agency ☒ Other (Specify) Unacceptable Performance

Section 1-D ACKNOWLEDGEMENT

I acknowledge receipt of this rating; however, my signature on this form does not imply agreement or disagreement with the rating received or that I forfeit any rights of review.

Employee Signature	Date
Rating Official Signature	Date 10/26/2017
Reviewing Official Signature (If Applicable)	Date

Section 2 JOB ELEMENT WITH PERFORMANCE STANDARDS

The employee's performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives.

DOT Goal - State Of Good Repair: Ensure the U.S. proactively maintains its critical transportation infrastructure in a state of good repair.

SLSDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Lawrence Seaway.

Section 2-A Job Element

JOB ELEMENT 1 OF 4 ☒ Critical ☐ Non-Critical Weight : 30%

Primary work assignment or responsibility of the employee that supports the "Achieved Results" level of Performance:

Element: Policies and Procedures - Analyzes Federal, State and local laws and regulations (i.e. DOT, OSHA, NYSDEC); evaluates impact of safety/health/environmental regulatory changes on facilities and operations; prepares revised guidelines for policies and procedures; serves as chair for monthly safety and health committee; prepares reports as required; communicates policy and procedural changes; and keeps supervisor informed of progress and issues. Typically prepared to answer technical questions regarding regulations, policies and procedures. Evaluations are thorough with no major requirements overlooked. Proposed guideline revisions are feasible and include input from management and employees as required. Safety and health committee meetings are conducted regularly and action items are effectively coordinated. Reports and communications are substantially complete, accurate and timely.

Section 2-B Job Element Performance Standard(s)

Outstanding: This is a level of exceptionally, high-quality performance. The quantity, quality, and /or timeliness of the employee's work have clearly surpassed the Exceeded Expectations standard and rarely leave room for improvement, the employee's performance has added value to the organization to an unusual degree, and has made significant contributions to mission accomplishment.

Exceeded Expectations: This is a level of unusually good performance and surpassed what is expected in the job element as defined by performance targets and exceeded expectations in major goals. The quality, quantity, and/or timeliness of the employee's work are consistently above average.

Achieved Results: This is a level of good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity, and timeliness of the employee's work under this element are that of a fully competent employee. The employees work products fully meet the requirements of the element.

Unacceptable: The employee's work performance does not meet the minimum requirements of the Achieved Results level and contains major deficiencies. The quality, quantity, or timeliness of the employee's work under this element is not adequate for the position. Work contains some inaccuracies, is partially complete or dependant on other staff to complete, would remain unresolved without prompting, or is unprofessional, requiring rewrites or revisions. (Corrective action must be taken.)

Section 2-C Job Element Rating

☐ Outstanding

☐ Exceeded Expectations

☐ Achieved Results

☒ Unacceptable

Section 2-D Narrative Summary of Performance

In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments.

During this performance period Susan Hauer performed at an unacceptable level for this CJE.

Ms. Hauer has received this rating for this CJE because she has not prepared quality and timely revisions of policies and procedures at an acceptable level of performance. Specific examples include:

1. On 9/19/2017 Ms. Hauer was tasked with preparing a draft revision of the written Lead Policy with a due date of 10/12/2017. She has not completed this and has indicated that she did not make any progress on preparing revisions and updates to the written Lead Policy.
2. No revisions or updates have been completed for the policies and procedures contained in the Safety and Health Handbook during this performance period. It has been discussed several times prior to, and at the conclusion of, the last performance period, that revisions and updates to these needs to happen.
3. On 8/8/2017 Ms. Hauer identified that there was, "deficiencies in the operation, installation and inspection of [emergency] eye wash stations/showers," and that there was a need to review and edit the Monthly Inspections Procedure, which covers these. There have not been any edits completed for this procedure.

Section 2 JOB ELEMENT WITH PERFORMANCE STANDARDS

The employee's performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives.

SLSDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Lawrence Seaway.

Section 2-A Job Element

JOB ELEMENT 2 OF 4 ☒ Critical ☐ Non-Critical Weight : 30%

Primary work assignment or responsibility of the employee that supports the "Achieved Results" level of Performance:

Element: Compliance - Verifies compliance with safety/health/environmental regulations, policies and procedures; participates in job hazard analysis and conducts inspections of workplace conditions and activities; identifies hazardous exposures and monitors use of personal protective equipment (PPE); evaluates, recommends and coordinates corrective actions; manages hazardous waste storage/disposal program; and provides guidance for other environmental programs (i.e. bulk petroleum storage, spill prevention and control). Typically prepared to answer technical questions regarding compliance with regulations, policies and procedures. Job hazard analysis and inspections are thorough with no major deficiencies overlooked. Recommended corrective actions are feasible and effectively implemented in a timely manner. Hazardous waste storage/disposal and other environmental programs are closely coordinated with employees and contractors to meet implementation and reporting requirements.

Section 2-B Job Element Performance Standard(s)

Outstanding: This is a level of exceptionally, high-quality performance. The quantity, quality, and /or timeliness of the employee's work have clearly surpassed the Exceeded Expectations standard and rarely leave room for improvement, the employee's performance has added value to the organization to an unusual degree, and has made significant contributions to mission accomplishment.

Exceeded Expectations: This is a level of unusually good performance and surpassed what is expected in the job element as defined by performance targets and exceeded expectations in major goals. The quality, quantity, and/or timeliness of the employee's work are consistently above average.

Achieved Results: This is a level of good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity, and timeliness of the employee's work under this element are that of a fully competent employee. The employees work products fully meet the requirements of the element.

Unacceptable: The employee's work performance does not meet the minimum requirements of the Achieved Results level and contains major deficiencies. The quality, quantity, or timeliness of the employee's work under this element is not adequate for the position. Must be continuously prompted to complete employee performance plans and appraisals on time, or within a short period after the original deadline. Employee work issues are not handled properly or resolved at the lowest level. Recognition and reward of employees is not considered, without much prompting by supervisor. (Corrective action must be taken.)

Section 2-C Job Element Rating

☐ Outstanding

☐ Exceeded Expectations

☒ Achieved Results

☐ Unacceptable

Section 2-D Narrative Summary of Performance

In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments.

Section 2 JOB ELEMENT WITH PERFORMANCE STANDARDS

The employee's performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives.

SLSDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Lawrence Seaway.

Section 2-A Job Element

JOB ELEMENT 3 OF 4 ☒ Critical

☐ Non-Critical

Weight : 20%

Primary work assignment or responsibility of the employee that supports the "Achieved Results" level of Performance:

Element: Education and Training - Manages safety/health/environmental educational and training programs; monitors improvements in safety equipment and procedures; develops and presents program curriculum; works with contractors to supplement in-house educational and training resources; conducts new employee safety orientations; and coordinates employee "tool-box" safety meetings. Typically prepared to answer technical questions regarding educational and training requirements. Developed programs are timely, effective and meet current regulatory and policy requirements. Contractor provided programs are reviewed and coordinated with management and employees. Employee requirements and participation are properly documented and updated regularly. "Tool-box" safety meetings are regularly monitored and evaluated with supervisors.

Section 2-B Job Element Performance Standard(s)

Outstanding: This is a level of exceptionally, high-quality performance. The quantity, quality, and /or timeliness of the employee's work have clearly surpassed the Exceeded Expectations standard and rarely leave room for improvement, the employee's performance has added value to the organization to an unusual degree, and has made significant contributions to mission accomplishment.

Exceeded Expectations: This is a level of unusually good performance and surpassed what is expected in the job element as defined by performance targets and exceeded expectations in major goals. The quality, quantity, and/or timeliness of the employee's work are consistently above average.

Achieved Results: This is a level of good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity, and timeliness of the employee's work under this element are that of a fully competent employee. The employees work products fully meet the requirements of the element.

Unacceptable: The employee's work performance does not meet the minimum requirements of the Achieved Results level and contains major deficiencies. The quality, quantity, or timeliness of the employee's work under this element is not adequate for the position. Work contains some inaccuracies, is partially complete, or is dependent on other staff to complete. Employees are not given a sufficient level of autonomy, which results in work delays. (Corrective action must be taken.)

Section 2-C Job Element Rating

☐ Outstanding

☐ Exceeded Expectations

☐ Achieved Results

☒ Unacceptable

Section 2-D Narrative Summary of Performance

In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments.

During this performance period Susan Hauer performed at an unacceptable level for this CJE.

Ms. Hauer has received this rating for this CJE because she has not regularly updated and properly documented employee requirements and participation for safety/health/environmental educational and training programs. On 9/19/2017 I asked for an update to the previously developed "training matrix" that tracked this type of training. A due date of 9/25/2017 was given. To-date this has not been completed. In July and in August Ms. Hauer indicated to me she has not been able to file and maintain records for previous 3 to 4 months. There is concern that some employees may be overdue on required safety/health/environmental educational and training.

During this performance period, Ms. Hauer was inconsistent with coordinating weekly employee "tool-box" safety meetings for SLSDC personnel.

Section 2 JOB ELEMENT WITH PERFORMANCE STANDARDS

The employee's performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives.

SLSDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Lawrence Seaway.

Section 2-A Job Element

JOB ELEMENT 4 OF 4 ☒ Critical ☐ Non-Critical Weight : 20%

Primary work assignment or responsibility of the employee that supports the "Achieved Results" level of Performance:

Element: Accidents, Illnesses or Injuries - Investigates safety/health/environmental incidents; evaluates, recommends and coordinates corrective actions; prepares required documents and reports (i.e. incident reports, OSHA 300/300A, DOT survey); and manages occupational health conservation programs. Employee incident investigations are coordinated with supervisors. Root causes are properly evaluated and recommended corrective actions are feasible and timely. Trending data is effectively used when recommending policy and procedural changes. Documents and reports are accurate and reviewed with safety and health committee. Occupational health conservation programs are closely coordinated with employees and contractors. Employee screenings and required follow-up procedures are properly documented and updated regularly.

Section 2-B Job Element Performance Standard(s)

Outstanding: This is a level of exceptionally, high-quality performance. The quantity, quality, and /or timeliness of the employee's work have clearly surpassed the Exceeded Expectations standard and rarely leave room for improvement, the employee's performance has added value to the organization to an unusual degree, and has made significant contributions to mission accomplishment.

Exceeded Expectations: This is a level of unusually good performance and surpassed what is expected in the job element as defined by performance targets and exceeded expectations in major goals. The quality, quantity, and/or timeliness of the employee's work are consistently above average.

Achieved Results: This is a level of good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity, and timeliness of the employee's work under this element are that of a fully competent employee. The employees work products fully meet the requirements of the element.

Unacceptable: The employee's work performance does not meet the minimum requirements of the Achieved Results level and contains major deficiencies. The quality, quantity, or timeliness of the employee's work under this element is not adequate for the position. Must be continuously prompted to complete employee performance plans and appraisals on time, or within a short period after the original deadline. Employee work issues are not handled properly or resolved at the lowest level. Recognition and reward of employees is not considered, without much prompting by supervisor. (Corrective action must be taken.)

Section 2-C Job Element Rating

☐ Outstanding

☐ Exceeded Expectations

☐ Achieved Results

☒ Unacceptable

Section 2-D Narrative Summary of Performance

In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments.

During this performance period Susan Hauer performed at an unacceptable level for this CJE.

Ms. Hauer has received this rating for this CJE because she has not managed the occupational health conservation program to an acceptable level during this period of performance. Specifically, Ms. Hauer was assigned to complete distributing copies of medical surveillance documentation to requested employees, with due dates to complete this as far back as June. This was assigned and reassigned multiple times. Minimum progress has been made on this and it is still not complete.

On 6/8/2017 an on-the-job injury was sustained by an SLSDC electrician. This injury investigation and documentation has not been reviewed with the Safety Committee. No process has been put in place and used to review accidents and injuries.

240 Pet.

Section 3 TRAINING IDENTIFICATION AND CAREER DEVELOPMENT (Optional)

Identify technical and/or management training that could assist the employee in improving job performance. This may also be an appropriate opportunity to discuss and note developmental assignments, cross training or other career development activities which would better prepare this employee to meet the needs of the organization. This section is optional based on OA program guidance.

Section 4 MID-YEAR REVIEW DOCUMENTATION (Optional)

This section may be used by supervisor and employee to document discussions at the mid-point progress review to note changes in the performance plan and to record comments. Please note any areas in which the individual has excelled or needs improvement. Signatures should be placed in Section 1-B.

Section 5 RATING OFFICIAL OR EMPLOYEE INPUT FOR PERFORMANCE RATING (Optional)

Provide narrative comments from the rating official or employee regarding accomplishments during this performance year that contributed to the OA's Vision, Mission, and goals. If more space is needed, attach additional sheets as necessary or attach documents.